

FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE
(MODIFIED) PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
053168-5005

SERIAL NO.
Not yet known

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT
(Use several sheets if necessary)

APPLICANT
Shrenik Deliwala

FILING DATE
May 17, 2001

GROUP
Not yet known

(37 C.F.R. § 1.98(b))

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | PATENT NUMBER | | | | | | | ISSUE DATE | PATENTEE | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|---------------------|---|---------------|---|---|---|---|---|---|---------------|------------------|-------|----------|-------------------------------|
| C.P. | A | 6 | 1 | 7 | 7 | 6 | 8 | 5 | 01/01 | Teraguchi et al. | | | |
| C.P. | B | 6 | 1 | 8 | 8 | 8 | 1 | 8 | 02/01 | Han et al. | | | |
| C.P. | C | 6 | 1 | 6 | 6 | 8 | 4 | 6 | 12/00 | Maloney | | | |
| C.P. | D | 6 | 0 | 7 | 5 | 9 | 0 | 8 | 06/00 | Paniccia et al. | | | |
| C.P. | E | 6 | 1 | 2 | 2 | 4 | 1 | 9 | 09/00 | Kurokawa | | | |
| C.P. | F | 5 | 8 | 6 | 4 | 6 | 4 | 2 | 01/99 | Chun et al. | | | |
| C.P. | G | 5 | 8 | 7 | 2 | 3 | 6 | 0 | 02/99 | Paniccia et al. | | | |
| C.P. | H | 5 | 8 | 3 | 5 | 6 | 4 | 6 | 11/98 | Yishimura et al. | | | |
| C.P. | I | 5 | 6 | 9 | 6 | 8 | 6 | 2 | 12/97 | Hauer et al. | | | |
| C.P. | J | 4 | 6 | 7 | 7 | 7 | 8 | 3 | 07/87 | Cratsa | | | |
| C.P. | K | 5 | 6 | 3 | 8 | 4 | 6 | 9 | 06/97 | Feldman et al. | | | |

FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

| | | DOCUMENT NUMBER | | | | | | | PUBLICATION DATE | COUNTRY OR PATENT OFFICE | CLASS | SUBCLASS | TRANSLATION | |
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| C.P. | L | Michael C. Parker et al., Applications of Active Arrayed-Waveguide Gratings in Dynamic WDM Networking and Routing, Journal of Lightwave Technology, Vol. 18, No. 12, December 2000. |
| C.P. | M | Bardia Pezeshki et al., Vertical Cavity Devices as Wavelength Selective Waveguides, Journal of Lightwave Technology, Vol. 12, No. 10, October 1994. |
| C.P. | N | Lucent Technologies, Bell Labs Innovations, Arrayed Waveguide Grating Multiplexer/Demultiplexer, January 2000. |
| C.P. | O | Robert Shi and Tomasz Jansson, Optical Interconnection Foundations and Applications, Chapter 5, Integrated Optical Waveguide Routing - Micro-optics, Artech House, pp. 141-225. |
| C.P. | P | Amalia N. Miliou et al., A 1.3 μ m Directional Coupler Polarization Splitter by Ion Exchange, Journal of Lightwave Technology, Vol. 11, No. 2, February 1993. |
| C.P. | Q | Gijs J. M. Krijnen et al., A New Method for the Calculation of Propagation constants and Field Profiles of Guided Modes of Nonlinear Channel Waveguides Based on the Effective Index Method, Journal of Lightwave Technology, Vol. 12, No. 9, September 1994. |

EXAMINER

DATE CONSIDERED

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| FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE (MODIFIED) PATENT AND TRADEMARK OFFICE INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary) (37 C.F.R. § 1.98(b)) | ATTY. DOCKET NO. 053168-5005 | SERIAL NO. Not yet known |
| | APPLICANT Shrenik Deliwala | |
| | FILING DATE | GROUP Not yet known |

U.S. PATENT DOCUMENTS

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|---------------------|----|---------------|---|---|---|---|---|---|---------------|---------------------|-------|----------|-------------------------------|
| <i>C.P.</i> | R | 5 | 6 | 2 | 9 | 8 | 3 | 8 | 05/97 | Knight et al. | | | |
| <i>C.P.</i> | S | 5 | 6 | 2 | 5 | 7 | 2 | 9 | 04/97 | Brown | | | |
| <i>C.P.</i> | T | 5 | 6 | 2 | 5 | 6 | 3 | 6 | 04/97 | Bryan et al. | | | |
| <i>C.P.</i> | U | 5 | 6 | 0 | 5 | 8 | 5 | 6 | 02/97 | Goosen et al. | | | |
| <i>C.P.</i> | V | 5 | 5 | 6 | 8 | 5 | 7 | 4 | 10/96 | Tanguay, Jr. et al. | | | |
| <i>C.P.</i> | W | 5 | 5 | 0 | 2 | 7 | 7 | 9 | 03/96 | Magel | | | |
| <i>C.P.</i> | X | 5 | 4 | 8 | 5 | 0 | 2 | 1 | 01/96 | Abe | | | |
| <i>C.P.</i> | Y | 5 | 4 | 3 | 4 | 4 | 3 | 4 | 07/95 | Kasahara et al. | | | |
| <i>C.P.</i> | Z | 5 | 4 | 3 | 2 | 6 | 3 | 0 | 07/95 | Lebby et al. | | | |
| <i>C.P.</i> | AA | 5 | 4 | 0 | 0 | 4 | 1 | 9 | 03/95 | Heinen | | | |
| <i>C.P.</i> | BB | 5 | 1 | 9 | 8 | 6 | 8 | 4 | 03/93 | Sudo | | | |

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| EXAMINER  | DATE CONSIDERED 9/11/04 |
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| | APPLICANT Shrenik Deliwala | |
| | FILING DATE | GROUP Not yet known |

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|------------------|----|---------------|---|---|---|---|---|---|------------|-----------------------|-------|----------|----------------------------|
| C.P. | CC | 5 | 1 | 5 | 9 | 7 | 0 | 0 | 10/92 | Reid, deceased et al. | | | |
| O.P. | DD | 5 | 1 | 5 | 3 | 7 | 7 | 0 | 10/92 | Harris | | | |
| C.P. | EE | 5 | 0 | 6 | 1 | 0 | 2 | 7 | 10/91 | Richard | | | |
| C.P. | FF | 4 | 9 | 6 | 6 | 4 | 3 | 0 | 10/90 | Weidel | | | |
| C.P. | GG | 4 | 9 | 3 | 9 | 7 | 9 | 3 | 07/90 | Stewart | | | |
| C.P. | HH | 4 | 9 | 1 | 7 | 4 | 5 | 0 | 04/90 | Pocholle | | | |
| C.P. | II | 4 | 8 | 7 | 1 | 2 | 2 | 4 | 10/89 | Karstensen | | | |
| C.P. | JJ | 4 | 8 | 6 | 5 | 4 | 2 | 7 | 09/89 | Kingston et al. | | | |
| C.P. | KK | 4 | 7 | 6 | 1 | 6 | 2 | 0 | 08/88 | Bar-Joseph et al. | | | |
| C.P. | LL | 4 | 7 | 5 | 8 | 0 | 9 | 2 | 07/88 | Heinrich et al. | | | |
| C.P. | MM | 4 | 6 | 9 | 5 | 1 | 2 | 0 | 09/87 | Holder | | | |

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| | FILING DATE | GROUP Not yet known |

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|---------------------|----|---------------|---|---|---|---|---|---|--|---------------|----------|-------|----------|-------------------------------|
| C.P. | NN | 4 | 4 | 2 | 2 | 0 | 8 | 8 | | 12/83 | Gfeller | | | |
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PTO/SB/08A (10-01)

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| Substitute for form 1449A/PTO | | Complete if Known | |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Application Number | 09/859 647 |
| | | Filing Date | 05/17/2001 |
| | | First Named Inventor | Dejiwala |
| | | Art Unit | 2678 |
| | | Examiner Name | Not yet known |
| Sheet 1 of 1 | Attorney Docket Number | 053168-5005 | |

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| Examiner Initials ¹ | Cite No. ¹ | Document Number Number - Kind Code ² (if known) | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
| C.P. | A | US-5,880,491 | 03-09-1999 | Soref et al. | |
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| C.P. | C | US-4,261,638 | 04-14-1981 | Wagner | |
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| C.P. | E | US-4,857,973 | 08-15-1989 | Yang et al. | |
| C.P. | F | US-5,841,716 | 11-24-1998 | Laughlin | |
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| C.P. | P | WO-99/09514 - A1 | 02-25-1999 | Advanced Precision | | |
| | Q | WO-00/49451 - A1 | 08-24-2000 | Bookham Tech. | | |
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| | S | WO-99/34485 - A1 | 07-08-1999 | Bookham Tech. | | |
| | T | WO-01/50166 - A1 | 07-12-2001 | Bookham Tech. | | |
| | U | WO-01/67172 - A1 | 09-13-2001 | Bookham Tech. | | |

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PTO/SB/08A (10-01)

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| Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Complete If Known | |
| Sheet | 1 | of | 1 |
| | | Application Number | 09/859,647 |
| | | Filing Date | 05-17-2001 |
| | | First Named Inventor | S. Deliwala |
| | | Art Unit | 2870 |
| | | Examiner Name | Not Yet Known |
| | | Attorney Docket Number | 053168-5005 |

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| Substitute for form 1449A/PTO | | Complete If Known | |
| | | Application Number | 09/059,647 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Filing Date | May 17, 2001 |
| | | First Named Inventor | S. Deliwala |
| | | Art Unit | 2878 |
| | | Examiner Name | Not yet Known |
| | | Attorney Docket Number | 053168-5005 |
| Sheet | 1 | of | 1 |

| U.S. PATENT DOCUMENTS | | | | | |
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| | | Number - Kind Code ² (if known) | | | |
| C.P. | A. | US- 5,459,799 | 10-17-1995 | Weber | |
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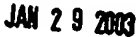
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| Application Number | 09/059,647 |
| Filing Date | May 17, 2001 |
| First Named Inventor | S. Delwala |
| Art Unit | 2878 |
| Examiner Name | Not yet known |
| Attorney Docket Number | 053168-5005 |

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**Examiner
Signature**

Date
Considered

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| | | Filing Date | May 17, 2001 | | |
| | | First Named Inventor | S. Delina In | | |
| | | Art Unit | 2878 | | |
| | | Examiner Name | Not yet known | | |
| Sheet | 1 | of | 2 | Attorney Docket Number | 053168-5005 |

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